

**REQUEST FOR PROPOSALS**  
**For Economic Growth Region 4's**  
**REGIONAL OPERATOR/FISCAL AGENT**  
**Program Years 2009-2011**

Date Issued: October 1, 2008—UPDATED OCTOBER 2, 2008

Due Date: October 27, 2008, 4:00 pm EST

Mandatory Notice of Intent to Bid: October 10, 2008, 4:00 pm EST

Mandatory Bidders' Conference: October 14, 2008, 2:00 – 4:00 pm EST  
IVTC State College, Room M214  
1815 E. Morgan  
Kokomo, IN 47421

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134 West Third Street  
Peru, IN 46970  
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Please note: All prospective bidders are prohibited from contacting any Region 4 Regional Workforce Board member or staff regarding this solicitation to avoid conflicts of interest. Contact with anyone regarding the solicitation procurement process other than then RFP Coordinator identified above will result in disqualification.

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## I. Background

### Workforce Development System Background Information

Indiana is working rapidly to upgrade the skills of Hoosier workers in order to provide a competitive edge to Indiana businesses, attract new industry and accelerate economic growth. To be more effective in achieving these goals, Indiana transformed the public workforce system to increase training and employment opportunities for regional economies. The intent is to return Hoosiers to work, expedite skill growth, and advance economic development.

The Indiana Strategic Plan, which may be found at the following website, [http://www.in.gov/dwd/files/State\\_Plan\\_Mod3\\_Addenda.pdf](http://www.in.gov/dwd/files/State_Plan_Mod3_Addenda.pdf) reforms the organizational structure for workforce system oversight and brokering and delivery of services. This change included the designation of only two workforce areas, beginning July 1, 2006. Those two areas are Marion County and the balance of the state. Within the balance of state there are eleven workforce service areas, each led by a partnership between the local elected officials and a Regional Workforce Board (RWB). The purpose of the RWBs is to support the Balance of State WIB by overseeing the development of the workforce in their regions including the oversight of WIA and other workforce development funding and to act as a stakeholder in Indiana's workforce investment system. Their responsibilities include:

- Providing direction for strategic regional workforce development by:
  - identifying and addressing key community workforce development issues;
  - Creating a workforce development **system** from the local collection of workforce development agencies; and,
  - Focusing the system to address the key workforce development issues;
- Promoting continuous improvement of the system;
- Building regional coalitions of key stakeholders and partners, including local economic developers, educators, industry leaders, and others;
- Competitively procuring a Regional Operator;
- At local option, procuring a fiscal agent;
- Providing oversight of WIA and other funding;
- Monitoring the competitive procurement of service providers;
- Advising the Regional Operator on functions that are normally part of WIB responsibilities under the Workforce Investment Act; and,

- Monitoring Regional Operator performance.

## Economic Growth Region 4 Background Information

Economic Growth Region 4, known as the Alliance “4” Advancement, is one of those eleven workforce areas. It is comprised of 12 counties in west central Indiana, including: Benton, Carroll, Cass, Clinton, Fountain, Howard, Miami, Montgomery, Tippecanoe, Tipton, Warren and White Counties. The area’s RWB, the Alliance “4” Advancement, is a 16 member business-led, volunteer board that establishes policy and drives the area’s strategy for workforce development. Its vision statement is:

***“The Region IV Workforce Board will henceforth come to be known as the Alliance “4” Advancement to reflect the fact that we are more than just a board. We are unrelenting builders of options to develop skills and knowledge of diverse peoples, firms, and future entrepreneurs. We envision a region where skills and knowledge are highly valued as pathways to personal wealth as well as to unite regional economic growth. We envision a region where family values and quality of life are key parts of the fabric of our community. Our region will be known for its innovation, will be a national model for workforce development, and will be bursting with opportunity that will catalyze and transform our region’s economy.”***

The Alliance “4” Advancement’s mission statement is:

***“The Alliance “4” Advancement Board is an innovative problem solver that promotes skills development and life-long learning as a means of achieving economic success and improving the quality of life of our citizenry.”***

More information about the region can be found on the following website: <http://www.region4workforceboard.org/>. Bidders should become knowledgeable of the area and its economic needs and priorities, and demonstrate this knowledge clearly and specifically within their response. It is preferred that bidders already have a positive reputation and contacts in the area to open doors to forge alliances, or have the capacity to do so.

The Alliance “4” Advancement currently has five goals within its strategic plan. They are:

- The RWB will strive to ensure the skills of the workforce match the needs of businesses.
- The RWB will work to align workforce development with local economic development.
- The RWB will strive to ensure the community, citizens, educators, programs,

other organizational service providers, partners and businesses are aware of the workforce development system.

- The RWB will work to enhance the knowledge and capability of the RWB to maximize its effectiveness.
- The RWB will strive to establish stable funding.

## **II. Purpose of the RFP**

The purpose of this request for proposals is to procure a **Regional Operator/Fiscal Agent for the Alliance “4” Advancement RWB, representing Economic Growth Region 4**. Bidders must submit a proposal for *both* Regional Operator and Fiscal Agent. ***Proposals submitted to provide just the Regional Operator OR Fiscal Agent services and not both will be disqualified.***

## **III. Regional Operator Responsibilities**

According to the Indiana Strategic Plan, the Regional Operator’s overall primary functions for the RWB including providing staff functions and serving as the One Stop Operator for the WorkOne offices within the region. More specifically the functions are to:

- **Ensure the RWB thinks strategically regarding the development of a comprehensive workforce development system that is aligned with economic development and education and identifies and addresses the key workforce development community issues by:**
  - conducting (in-house or through a contract) the necessary ongoing research and analysis activities (such as community workforce development audits) to identify the key community workforce development issues;
  - assisting the RWB to create an effective strategic plan to address those issues;
  - assisting the RWB to effectively implement the long and short term goals, objective and strategies within their strategic plan including;
    - the “call to action” developed within its upcoming State of the Workforce report;
    - implementing solutions to skills shortages identified through Indiana’s strategic skills initiatives;
    - supporting the initiatives and activities outlined within the region’s WIRED (Workforce Innovation in Regional Economic Development) grant. This grant funds a federal initiative designed to encourage regional collaboration among public and

private entities to develop a more highly skilled workforce in order to attract economic development and jobs in the region. More information on the WIRED grants is available on the US Department of Labor's website

([http://www.doleta.gov/usworkforce/whatsnew/eta\\_default.cfm?id=1347](http://www.doleta.gov/usworkforce/whatsnew/eta_default.cfm?id=1347)); and;

- producing and publishing report cards on the results of the strategic plan;
- **Provide staff support to enhance the RWB's effectiveness** including:
  - assisting the RWB to develop into a dynamic, cooperative and positive team with high expectations;
  - developing a process that will actively solicit and engage the RWB members, stakeholders and local elected officials so they will see the value added and rewarding benefits of participating;
  - handling the logistics of RWB and Local Elected Officials' meetings; and,
  - assisting the RWB to develop a business focused approach to workforce and economic development policy and practice;
- **Lead and manage the delivery of an integrated, "demand driven" client services system ensuring adherence with federal and state legislation and regulations, state policy and the Governor's vision (outlined in the Indiana Strategic Plan referenced above).** The state policies can be found at <http://www.in.gov/dwd/2880.htm>.  
Programs to be included within the *integrated* system must include at a minimum, but are not limited to, those within the following funding sources:
  - Workforce Investment Act Title 1 Adult, Dislocated Workers and Youth;
  - Wagner Peyser Act;
  - Veterans Employment and Training Programs;
  - Trade Adjustment Assistance; and,
  - Other programs to be incorporated in the future;
- **Direct and coordinate the flow and delivery of services in the WorkOne system, including:**
  - developing RFPs for service providers and overseeing the evaluation and selection process with the approval of the RWB;
  - providing technical assistance to the workforce service providers, including any non-procured partners;

- performing duties identified for the One Stop Operator in federal and state legislation regulations, policies and procedures;
- ensuring compliance with the region's procurement policy, including execution of all contracts;
- providing participant reporting and data validation functions required by the state and federal agencies;
- updating and maintaining the eligible training provider data, including, but not limited to the acceptance of applications from training providers, the entry of applications into the state system and the first level approval or denial of such applications. Such actions will be in accordance with the local and State Workforce Boards. The state's eligible training provider policy may be found at <http://www.in.gov/dwd/partners>; and,
- coordinating with the fiscal agent concerning fiscal data and financial reporting formats and processes;

(Please note: Although the Regional Operator directs the flow and functionally supervises the staff, no staff of the Regional operator entity may provide WIA Title 1 core, intensive or training services or other direct job seeker workforce services in any region in Indiana.)

- **Create and follow, once approved by the RWB, a budget and cost allocation plan;**
- **Seek additional funding sources and partnering opportunities.** Staff will be expected to go beyond basic one-stop system oversight and continually look for ways to strategically grow jobs, employment and personal income in Region 4. Staff will be expected to pursue revenue generating activities, including grant writing and fee for service opportunities. Staff must be able to form coalitions and partnerships to achieve these results;
- **Promote the RWB's initiatives and the efforts of the WorkOne System** by creating and implementing the RWB's marketing plan: and,
- **Perform other duties as determined by the RWB.**

#### **IV. Fiscal Agent Responsibilities**

Fiscal Agent responsibilities include:

- Administration of contracts between the state, the RWB and the Regional Operator;

- Administration of grant funds for the region, including WIA Title I Adult, Dislocated Worker and Youth,; state and federal competitive and formula funds; Strategic Skills initiative funds; and other funds as directed by the REWB or their designee,
- Handling receipts and disbursement for the region;
- Establishing acceptable cost account plans for the entities served;
- Providing the state and RWB with financial reports for the region;
- Ensuring compliance with all applicable federal and state fiscal legislation and regulations, applicable Office of Management and Budget (OMB) Circulars, and state/regional policies and directives, including directives regarding monthly bank reconciliation and maintaining minimum cash on hand;
- Establishing a procedure to record and report all stand-in costs ,and when applicable, all match cost of cash/in-kind as directed , and any required maintenance of effort;
- Utilizing acceptable accounting software that allows for accrual reporting of all costs within the timelines established and the allocation of overhead/indirect costs; and,
- Ensuring fiscal integrity.

The Fiscal Agent, its employees, or its subcontractors may not provide WIA Title I core, intensive or training services or other direct job seeker workforce services in any region in Indiana.

## **V. Eligible Bidders**

Any public or private non-profit or for-profit entity may bid on the Regional Operator/Fiscal Agent opportunity. Any bidder responding to this RFP must be a legal entity and registered to do business in the State of Indiana before a contract can be executed. Any organization on any debarment or suspension list is not eligible to respond to this solicitation.

The Regional Operator/Fiscal Agent may NOT provide direct WIA Title I core, intensive or training services in Region 4. Therefore, entities that intend to bid on service delivery should consider whether they want to bid on the Regional Operator/Fiscal Agent roles, since winning the contract would exclude them



from eligibility as a service provider. Also, no Regional Operator/Fiscal Agent staff person shall be a member of the RWB.

## **VI. Contract Information**

### **Funding Available**

The funding for these services will come primarily from federal Workforce Investment Act, Title I funds awarded to the Region. For Program Year 2008, the counties that comprise Region 4 were collectively allocated \$3,681,994, or 7.84%, of the balance of state allocation (excluding Marion County).

Sub state WIA allocations for Program Year 2009 have not yet been issued by the state. Estimated allocation for PY'09 is in the range of \$2.5 - \$4.0 million.

### **Contract Period**

The formal contract period is from July 1, 2009 – June 30, 2011. If performance is acceptable, the RWB may renew the contract for one (1) additional year only. The Regional Operator/Fiscal Agent functions must be competitively procured no less than once every three years. There is no restriction on the same entity competing and being awarded subsequent contracts. Contract activities may begin earlier for transition work.

### **Contract Negotiations**

The successful respondent to this RFP will be expected to participate in contract negotiations to establish the exact service to be provided and the payment terms for those services. Costs and services will be negotiated based on information contained in this RFP and the proposal selected.

### **Subcontracts**

Bidders may subcontract for all or part of the services to be provided by Regional Operator. Partnerships with diverse talents, for example, may bid together to act as Regional Operator, but one lead entity must be the contractor that will subcontract with any partners. The intention to subcontract must be clearly stated in the response to this RFP and approved by the RWB. In the bidders background and qualifications, clearly specify what background and qualifications describe the bidder and which are pertinent to the subcontractor.

## **VII. Limitations**

It is understood that submitted proposals will become part of RWB 4 official files without further obligation. This RFP does not commit the Region 4 RWB to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract for services or supplies. The RWB reserves the right to make award to any bidder or to make no awards, if that is deemed to serve the best interests of the RWB and Region 4.

## **VIII. Disclosure**

Respondents to this RFP should note that the contents of their response to the RFP or other information submitted to the RWB are subject to public release upon request, except those items specifically exempt from disclosure after the selection of the winning bidder. All such proprietary or confidential material should be so marked.

## **IX. Procurement Process**

The procurement process will be conducted in a manner that provides for full and open competition. Award will be made only to individual(s) or organization(s) possessing the qualifications and demonstrated ability to perform successfully under the terms and conditions of a contract and that is in line with the scope of services listed in this RFP. The overall process is outlined in the procurement timeline chart.

### **Procurement Timeline**

<b>Activity</b>	<b>Date</b>
RFP Released	October 1, 2008 – <b>UPDATED October 2, 2008</b>
Mandatory Notice of Intent to Bid	October 10, 2008 at 4 PM EST
Mandatory Bidders Conference	October 14, 2008 at 2 PM EST
Q &A Deadline	October 23, 2008 at 4 PM EST
Proposals due	October 27, 2008 at 4 PM EST
Bidder interviews	November 5, 2008
Bidder selected (Planned)	November 13, 2008
Notify bidders of result (Planned)	November 14, 2008
Pre-award survey if required (Planned)	December, 2008
Contract negotiations (Planned)	January 2009
Contract Start	Based on transition needs

The RWB reserves the right to adjust the schedule when it is in the best interest of the RWB, or, to extend any published deadline in this RFP upon notification to those who have requested an RFP.

### **Mandatory Notice of Intent to Bid**

**A formal letter of intent to bid is required from each bidder.** Bidders must notify the RFP Coordinator by October 10, 2008 at 4 PM EST if they intend to bid so that any changes to the RFP that may result from additional state guidance can be passed on to the bidders. Submit the Notice of Intent to Ricki Kozumplik via email at [kozumplik@iquest.net](mailto:kozumplik@iquest.net) and put "Notice of Intent to Bid" in the subject line. Said letter does not commit the bidder to submit a proposal. The Letter of Intent should contain the company name, address, contact person, and contact information (including email address). All of the Letters of Intent to Bid will be kept confidential and will be released upon written request and only after a selection has been made for the Regional Operator.

### **Bidder's Conference**

Any entity wishing to make a proposal for Regional Operator/Fiscal Agent in Region 4 must attend a **mandatory** Bidder's Conference. The Bidder's Conference will be held on October 14, 2008 from 2:00 P.M. to 4:00 P.M. (EST) at the following location:

Ivy Tech State College – Kokomo, Room M214  
1815 E. Morgan  
Kokomo, IN 47421

Only proposal submitted by the entities in attendance at the Bidders Conference will be considered in the selection of a Regional Operator/Fiscal Agent for Region 4. Non-attendance at the Bidder's Conference will make the responder an ineligible bidder with any such proposal marked as rejected and not considered.

### **Question and Answer Timeline**

To be considered for funding, each bidder must submit a proposal and any other documentation in strict accordance with these instructions. When evaluating a proposal, the RWB will consider how well the bidder complied with these instructions and provided the information outlined in the Request for Proposal. Therefore, the RWB encourages bidders to contact the RFP Coordinator by email to request any additional clarification that may be needed to comply with these instructions. **Phone calls will not be accepted.** All

questions must be in writing and received by October 23, 2008 at 4 PM EST. Questions may be sent via email ([kozumplik@iquest.net](mailto:kozumplik@iquest.net)) or at the following mail address:

Ricki Kozumplik, RFP Coordinator  
134 West Third Street  
Peru, IN 46970

The RFP Coordinator will send the Q&A to all who submitted a Notice of Intent to Bid. All answers issued in response to the bidder questions become a part of the RFP and the RFP process.

### **Proposal Submission Deadline**

In order to be considered, all proposals in response to this RFP are **due by 4PM EST on October 27, 2008**. **Any proposals received after the deadline will be marked as rejected and not considered.**

### **Bidder Interviews**

Bidders **may** be asked to attend an interview session for the review committee to gain further information about the proposal. **This is not a presentation by the bidder.** The RFP Coordinator will contact those bidders who are requested to attend in order to schedule a time. The date for the interview sessions is **November 5, 2008**. Please keep this date open.

### **X. Proposal Format**

Proposals must be prepared and sequenced in accordance with the following instructions. **All referenced attachments are included in this packet at the end of the RFP.** Any proposals not following these guidelines, or received after the deadline will not be accepted for consideration under this RFP. Proposals must be organized in the following order:

- a. Proposal Summary Page
- b. Table of Contents
- c. Response items (body of proposal, consistent with Section X. A-E of this solicitation)
- d. Budget Estimate and Budget narrative
- e. Assurances and Certifications

Proposals, as well as any reference materials presented must be typed in English. Pages must be numbered sequentially in the lower right corner, with the Proposal Summary Page as "Page 1 of \_\_\_\_". All copies must be single sided.

All information in the proposal should be relevant to a specific requirement detailed in the RFP. Any information not meeting this guideline will be deemed extraneous and will in no way contribute to the evaluation process.

## **Response Items – Proposal Content**

While there is no page limit, all responses should be as concise, clear and to the point. Excessive text may obscure the proposal and impact evaluation.

### **A. Bidder's Background**

Describe the bidder's background including:

- 1) Mission statement
- 2) Where and when incorporated
- 3) Number of years in business and a brief history of the bidder
- 4) Examples of types of contracts the bidder has previously entered into, including type of contracting entity, location of the work and general types of services provided
- 5) Why the bidder is interested in pursuing this RFP
- 6) If the entity has a board, identification of board members (this may be expressed as a link to a website that identifies board members)
- 7) The bidder's experience working within Region 4
- 8) The bidder's experience with service provider agencies, including a listing of those service providers
- 9) The bidder's experience working with the Department of Workforce Development
- 10) Provide a copy of the bidding agencies two most recent audit reports
- 11) Any work the bidder is currently doing or is proposing to do in addition to this contract. Estimate what percentage of the overall organization's work would be represented by this contract.
- 12) Knowledge of and success within WIA and other legislation
- 13) The bidder's "least and most favorite" tasks within those listed in the responsibilities for the Regional Operator and Fiscal Agent and why
- 14) If the entity has previously delivered WIA services, or provided oversight to the delivery of WIA service contracts, provide performance data for the most recent two program year's available and most recent program monitoring report
- 15) If the entity has previously acted as fiscal agent for WIA funds, provide a copy of the two most recent fiscal monitoring reports.

### **B. Bidder's Qualifications**

**Regional Operator Activities** –Describe the bidder's:

- 1) familiarity with the economy and workforce needs of Region 4. This should not be a recitation of data contained in the websites previously listed in the RFP. Rather, this should be a relatively short description that demonstrates that the bidder has read and reflected upon the workforce and economic needs of this area.
- 2) experience and success with research and data analysis.
- 3) experience and success with report writing and distribution.
- 4) experience and success with grant writing.
- 5) successes in working with communities and community development.
- 6) economic development success, including its success in working with economic development agencies.
- 7) educational development success, including its success in working with K-12, secondary and post-secondary agencies.
- 8) other major workforce development achievements of the bidding agency outside of WIA performance standards. Include achievements both within WIA (other than standards) as well as non-WIA achievements in workforce development.

**Fiscal Agent Activities** - Describe the bidders experience with:

- 1) Automated reporting systems
- 2) Contract development and management
- 3) Budgeting, accounting and fiscal oversight
- 4) Accounting and reporting systems
- 5) Providing financial service for federal and state workforce programs

**Overall Activities –**

- 1) Provide plans for maintaining administrative offices within the region and which staff will be located within them.
- 2) Provide an organizational chart that shows how each fits into the overall organization. If a current position is vacant, describe the qualifications that will be sought to fill the position and the timeline for hiring. Note: the lead position for either Regional Operator or Fiscal Agent activities may not be shown as vacant
- 3) Indicate what the roles/titles will be of the assigned staff in this contract. Clearly identify which staff will be performing staff support to the RWB and which staff will be working with the service providers. Indicate the percentage of time each staff person will be devoting to each function.
- 4) Provide a succession plan for the chief executive and other key personnel, if such a plan exists.

5) Provide bios or resumes of the assigned staff. Bios or resumes should include the person's experience in the following as appropriate to each person's planned duties under this contract:

- staffing a Board
- facilitation and positive motivator
- strategic planning
- creating partnerships and/or coalitions and gaining consensus among diverse groups
- knowledge of WIA/related legislation
- knowledge of economic development principles and practices
- industry clusters
- policy development
- oversight and monitoring, particularly as it relates to WIA and other federal programs
- labor market research
- generating revenue
- marketing
- providing technical assistance to providers
- developing and overseeing procurement processes
- supervision and staff development

### **C. Plan of Work**

#### **Regional Operator Activities**

**Regional Workforce Board Support:** Describe the bidder's approach to providing staff support to the RWB including:

- understanding the difference between the work of the RWB and the work of the one-stop system;
- expectations of how the RWB will work with the RO;
- plans for interacting with the board, stakeholders, and the elected officials including member recruitment, orientation, capacity development and "care and feeding" of RWB members;
- how the bidder will assist the RWB to meet its strategic plan goals, objectives, and strategies (the current ones can be found on the RWB website listed previously in this solicitation);
- how the bidder will develop or maintain a website for the RWB and the proposed website content;
- how agendas will be established and how meetings will be conducted - include how the bidder will ensure active engagement and participation by the members; an example of how a typical meeting transpires;

- the bidder's approach to budgeting—what information is used to determine how to budget resources;
- the bidder's approach to creating a budget and cost allocation plan;
- the bidder's approach to monitoring and reporting on expenditures to the RWB;
- the bidder's approach to policy development, including how to ensure the RWB fulfills the duties assigned to WIBS in the Workforce Investment Act;
- the bidder's approach to developing, distributing, and implementing solutions to issues identified in the State of the Workforce Report;
- the bidder's approach to strategic planning, demonstrating inclusiveness of community participation, understanding of policy impacts, and the need to measure community results;
- the bidder's approach to revenue generation to expand the resource of the RWB to accomplish the RWB's work;
- the bidder's approach to creating coalitions and partnerships that enhance the effectiveness of the RWB;
- the bidder's innovative ideas for how an RWB can proactively increase jobs, employment, and personal income in a region.

**Transition Management** – Describe how the bidder will manage the transition from the previous RO, including:

- the approach and timetable for turnover of clients, records and files;
- the approach and timetable for reviewing and issuing local policy and operational guidance to providers and partners;
- how the bidder will ensure continuation of training and other services for individuals who entered services that extend beyond July 1, 2009;
- how the bidder will manage the transition of equipment inventory.

**Information Management** – Describe the bidder's approach to:

- developing and implementing processes to collect, manage, and utilize information about the system;
- identifying points in performance that would be "triggers" to take action to avoid performance failure;
- ensuring timely data entry on program participants;
- validating program eligibility; and,
- using information to make decisions that will improve efficiency and effectiveness.

**Marketing and Public Relations** – Describe how the bidder will develop an overall marketing plan including ideas for:

- marketing the WorkOne system and evaluating its effectiveness;
- promoting the need for Life Long Learning;



- assisting the RWB in developing a public image for itself and how to improve its public relations.

**Service Provider Procurement and Performance Management** – Provide a description of:

- tasks and a timetable for procurement of service providers;
- how the bidder will provide orientation for new providers and for old providers that need to understand new policies and procedures;
- how the service provision will be monitored for quality control;
- how the bidder will handle service provider performance issues;
- how the bidder will increase the number of qualified service providers.

**Service Integration and Coordination** – Describe how the bidder will continue to enhance the integrated services and workflow in the WorkOne system that will result in seamless service delivery including:

- the bidder's understanding and vision for "seamless" service delivery, integration, and coordination and how it will be accomplished in a collaborative atmosphere;
- how the bidder will manage staff communications and staff satisfaction;
- how functional supervision for all staff, including state agency staff who are not under service delivery contracts, will be managed;
- how staff performance appraisal and development plans will be administered;
- how the bidder will determine the need for extended days/hours of operation;
- ideas for better utilization of technology in the delivery of services;
- the bidder's approach to continuous improvement; and,
- how the bidder will benchmark the practices of the WorkOne system against the industry leaders.

### **Fiscal Agent Activities**

Describe the fiscal services to be provided that will ensure compliance with all federal and state statutes, regulations, and policies and generally accepted accounting principles. Include in the description how the bidder will develop:

- a financial reporting and cash management system;
- internal controls to maintain fiscal integrity;
- a proposed cost allocation and implementation plan;
- a detailed budget and monitoring procedures for RWB-related expenditures;

- methods for assisting the RWB to aggressively pursue repayment from the originating entity/organization for any disallowed costs that may be identified;
- controls that will be used to ensure data entered into an automated fiscal system is both accurate and timely;
- how payments for delivery of workforce development services in the region will be handled, including how you will ensure proper documentation accompanies each claim for payment;
- methods to be used to resolve concerns over payment for questioned costs; and,
- how financial reports for the RO, RWB and state will be developed and formatted to clearly communicate the information each entity needs to know.

#### **D. References**

Provide three (3) references from the agency relationships described in Sections X.A. Bidders Background and X.B. Bidders Qualifications. Include the name of the organization, name of the contact person, address, phone number, email address, how this contact is familiar with the work of the bidder, and the nature of the work performed. If you have previously provided both Regional Operator/Fiscal Agent functions for the same area, please include those references. Otherwise, please include separate references for Regional Operator and Fiscal Agent activities.

#### **E. Budget and Cost Information**

Specify the cost for the regional operator and/or fiscal agent services documented by a cost worksheet included in this document at the end of this RFP.

#### **Budget Narrative**

1. Describe how the bidder will determine Regional Operator/Fiscal Agent costs for any additional workforce development grants that may be received in the region.
2. Provide the hourly rate of pay or annual salary for each person assigned to this contract and the estimated percentage of each individual's time that he or she will perform work for the contract. Also indicate the number of hours or days of vacation that each staff person is permitted.
3. Indicate the benefit percentage and what benefits are included for staff.

4. Explain how the bidder estimated rent and utility costs. (The successful bidder will be required to maintain administrative office(s) within the region.) Rent agreements in place for current WIB entities do not have to be assumed by the Regional Operator/Fiscal Agent.
5. The existing furniture and equipment of the current RWB entities will become the inventory for Region 4 and will be available for use by the Regional Operator/ Fiscal Agent. Please describe any additional or replacement costs included in the estimate.
6. Describe how estimated supply and postage costs were estimated.
7. Explain the technology estimate, including software licenses, telephone, teleconferencing for RWB members, technical support, software updates, and internet access fees.
8. Explain how arrived at the travel costs were estimated, including purpose for travel (national conferences, seminars, statewide meetings, local meetings, staff development).
9. Explain what memberships and subscriptions are anticipated and how they were estimated.
10. If there are services that the Regional Operator intends to procure for the board rather than provide through its own staff (e.g., development of State of the Workforce Reports, retreat facilitation, special studies, etc.), please describe.
11. It is assumed that the remaining funds are for contracting to service providers. Explain how these were estimated.

## **XI. Submission Requirements**

### **Number of Copies**

Submittals must include one (1) original (signatures in blue ink), five (5) copies, and one (1) electronic version (either in PDF or Microsoft Word format). The electronic version may be provided on a CD or e-mailed directly to the RFP Coordinator at [kozumplik@iquest.net](mailto:kozumplik@iquest.net). The original must be clearly marked "ORIGINAL" on the cover sheet and contain original signatures. No email copies (beyond the one required electronic version) and no faxed copies will be accepted.

### **Receipt Deadline**

The bidder is responsible for ensuring the original, the five copies and one electronic version are RECEIVED by the due date, not merely postmarked. The bidder is responsible for ensuring the proposals reach the RFP Coordinator by 4

PM EST on October 27, 2008. Commercial delivery service (such as Fed Ex, UPS, etc.) and hand delivery are acceptable in addition to regular US Mail.

Proposals are to be addressed to:

<p>Ricki Kozumplik, Indiana Region 4 RFP Coordinator 134 West Third Street Peru, IN 46970 Phone: 765-472-1495 (if sending via courier)</p>
--------------------------------------------------------------------------------------------------------------------------------------------------------

### **Travel/Development/Related Expenses**

All travel and other contract related expenses associated with developing the proposal and interviewing must be borne by the bidder.

### **Confidentiality and Property Rights**

In submitting its proposal, the bidder agrees not to discuss or otherwise reveal the contents of the proposal to any source outside of then using or issuing agency, government or private, until after award of the contract. Bidders not in compliance with this provision may be disqualified from contract award.

All responses, inquiries, or correspondence relating to or in reference to the RFP and all other reports, charts, displays, schedules, exhibits, and other documentation submitted but the bidder shall become the property of the RWB when received.

### **Withdrawal of Proposals**

Proposals may be withdrawn by written notice, including letter and email received by the RFP Coordinator at any time before an award is made. Proposals may be withdrawn in person by the applicant or by an authorized representative thereof, if the representative signs a receipt for the proposal.

### **Changes, Amendments**

Unless specifically requested by the RWB, changes and/or amendments to the originally submitted proposal will not be considered.

## **XII. Selection Process**

The selection process will consist of:

- Review and scoring including:

- A standardized **technical** review using the same instrument (Technical Review Criteria Checklist) by the RFP Coordinator for both responsiveness and compliance with the technical specifications and other criteria specified in the RFP;
- A standardized **content** review by a review team using the same instrument for all non-disqualified proposals using the same instrument by all parties ;
- On-site interviews and/or requests for additional information with top selected bidder(s);
- Presentation of evaluations, scoring and recommendations of proposed bidder(s) for contract negotiations;
- Successful bidders may be subject to an onsite visit (pre-award survey) to evaluate administrative and financial management systems. Additionally, they may be required to attend a contractor training session to ensure they are cognizant of RO/Fiscal Agent responsibilities, reporting requirements, payment methods, and performance measures to ensure successful contract performance.

### Review Criteria

As stated above, each proposal will be reviewed against **technical** and **content** criteria. If the proposal does not meet all of the requirements of the technical criteria, it will be designated as “non-responsive”. Non-responsive proposals will not be reviewed against the content criteria and therefore not eligible for contract selection. The content criteria will be used to score and rate each proposal.

### Technical Review Criteria Checklist

Yes/No	Technical Criteria
--------	--------------------

	Bidders submitted 1 original copy (signatures in blue ink), 5 copies and one electronic copy. The original was stamped and marked as such.
	The submission was in the proper order: Proposal summary page, Table of Contents, Response items (body of proposal, consistent with Section X of this solicitation, Budget Estimate and Budget Narrative, Assurances and Certifications
	The proposal is considered responsive and can be reviewed against the content criteria.

### **Content Review/Proposal Scoring Criteria**

The content criteria will be used to score and rate each proposal. Each criterion has a unique number of points that can be assigned based on how well the bidder completed each section of the proposal. The scores for each section ranges from 5 to 25 points, totaling 100 total points. Each item's score is based on adequacy of response to all items in the instructions within the category, strength of approach, innovative ideas, and understanding of the work and timetables necessary to achieve compliance, performance and integrity. Once each of the members has completed his/her evaluation and assigned scores for each criterion, all evaluators' scores will be totaled to determine which bidders will be selected for interviews. The scores for each section can be found in the sample Content Criteria/Proposal Scoring Forms that follow.

### Content Review/Proposal Scoring Form (Regional Operator Activities)

Criteria	Total Points Available	Evaluation
<b>Bidder's Background and Qualifications</b> Score is based on whether bidder adequately addressed all the response items and appears to be a solid organization. If bidding on Regional Operator and has previously delivered, or oversaw delivery of, WIA services, bidder reported excellent outcomes.	10	
<b>Regional Workforce Board Support</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	20	
<b>Transition Management</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	10	
<b>Information Management</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	5	
<b>Marketing and Public Relations</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	15	
<b>Service Provider Procurement and Performance Management</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	10	
<b>Service Integration and Coordination</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	15	
<b>Budget</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to	15	

achieve compliance, performance, and integrity. Provide plans for maintaining administrative offices within the region and which staff will be located within them.		
<b>TOTAL</b>	100	

### Content Review/Proposal Scoring Form (Fiscal Agent Activities)

Criteria	Total Points Available	Evaluation
<b>Bidder's Background and Qualifications</b> Score is based on whether bidder adequately addressed all the response items and appears to be a solid organization.	10	
<b>Internal Controls</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	25	
<b>Cost Allocation</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	15	
<b>Disallowed Costs</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	5	
<b>Fiscal Reporting</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary	5	



to achieve compliance, performance, and integrity.		
<b>Payments</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	10	
<b>Coordination and Communication</b> Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the work and timetables necessary to achieve compliance, performance, and integrity.	15	
<b>Budget</b> Score is based on reasonableness of budget consistent with the scope of work proposed, and the thoroughness and logic of the budget narrative.	15	
<b>TOTAL</b>	100	

### **XIII. Copies of Forms to be Included Within the Proposal**

The following attachments are forms to be included within your proposal.

#### **Signature Page**

Complete and sign the following Signature Page and include as the first page of your submission.

#### **Budget Estimate**

Complete the following Budget Estimate form and include after the Response Items-Proposal Content Narrative explained in Section X. A-E of this RFP.

## **Assurances and Certifications**

Complete the following Assurances and Certifications and include them within your submission after the Budget forms.

## Proposal Summary

Bidder's Name \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Contact Person: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Federal Employer  
Identification Number  
(FEIN): \_\_\_\_\_

Website Address: \_\_\_\_\_

Typed Signature Name: \_\_\_\_\_

Signature: \_\_\_\_\_

**Please provide a brief (no more than 1 page) summary of bidder's background and capacity for providing the Regional Operator/Fiscal Agent Services.**

## Budget Estimate

Line Item	Regional Operator Activities				Fiscal Agent Activities	Match (Optional)	Total Budget
	Regional Workforce Board Staffing		One Stop Operator Staffing				
	Program	Admin	Program	Admin			
Salaries							
Fringe Benefits							
Travel and Staff Development							
Occupancy							
Communications							
Supplies							
Furniture and Equipment							
Professional Services							
Contracts for RWB Services							
Other (Please explain fully)							
Total							

## **Attachment A**

### **Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

The proposer certifies that to the best of its knowledge and belief that it and its principle:

Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

Are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in the paragraph above; and,

Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall submit an explanation to the Board.

Printed name/title of Certifying  
Representative\_\_\_\_\_

Authorized  
Signature-\_\_\_\_\_

Date\_\_\_\_\_

**Attachment B**  
**Non-Collusion Affidavit**

Region 4 Regional Workforce Board

State of Indiana

County of \_\_\_\_\_

The respondent is hereby giving oath that it has not, in any way, directly or indirectly, entered into any arrangement or agreement with any other respondent or with any officer or employee of the Northwest Indiana Workforce Board whereby it has paid or will pay to such other respondent or officer or employee any sum of money or anything of real value whatever; and has not, directly or indirectly, entered into any arrangement or agreement with any other respondent or respondents which tends to or does lessen or destroy free competition in the letting of the agreement sought for by the attached response; that no inducement of any form or character other than that which appears on the face of the response will be suggested, offered, paid, or delivered to any person whomsoever to influence the acceptance of the said response or awarding of the agreement, nor has this respondent any agreement or understanding of any kind whatsoever, with any person whomsoever, to pay, deliver to, or share with any other person in any way or manner any of the proceeds of the agreement sought by his response.

Signature of Authorized Representative

Print or Type Name

Subscribed and sworn to me this day \_\_\_\_ day of \_\_\_\_\_

Notary Public

County of

Commission Expiration Date:

## **Attachment C**

### **Drug-Free Workplace Certification**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85. Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Contracting entity determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

A. The contractor certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about --
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantees policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
  - (1) abide by the terms of the statement; and
  - (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the contracting entity within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or Local health, Law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f)

Printed name/title of Certifying  
Representative\_\_\_\_\_

Authorized  
Signature\_\_\_\_\_

Date\_\_\_\_\_

**Attachment D**  
**Certification Regarding Lobbying**

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the Undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant or Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant or loan.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant or loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the Award documents for all subawards at all tiers (including contracts, subcontracts, and subgrants under grants and loans) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Printed name/title of Certifying  
Representative\_\_\_\_\_

Authorized  
Signature\_\_\_\_\_

Date\_\_\_\_\_



## Attachment E

### Assurance of Non-discrimination and Equal Opportunity

The proposer assures and certifies that it will conduct its business in accordance with provisions of the following laws, as they may apply:

- Titles VI and VII of the Civil Rights Act of 1964, as amended; which prohibits discrimination on the basis of race, color, religion, sex, or national origin;
- Section 504 of the Rehabilitation Act of 1973, as amended;
- Title IX of the Education Amendments of 1972, as amended; which prohibits discrimination on the basis of sex;
- The Age Discrimination Act of 1975, as amended; which prohibits discrimination on the basis of age;
- Americans with Disabilities Act of 1990, as amended; which prohibits discrimination on the basis of handicap or disability;
- The Drug Abuse Office and Treatment Act of 1972, as amended, relating to nondiscrimination on the basis of drug abuse;
- The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended; relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
- Sections 523 and 527 of the Public Health Service Act of 1912, as amended, relating to confidentiality of alcohol and drug abuse patient records;
- Title VIII of the Civil Rights Act of 1968, as amended, relating to nondiscrimination in the sale, rental or financing of homes; ☐ Non-traditional Employment for Women Act of 1991, as amended, relating to the employment of and nondiscrimination against women in occupations where women represent 25% or less of the total employment

and will follow all applicable rules and regulations promulgated thereunder. During the performance of any contract executed as the result of this request, proposer will not deny any benefits under a contract to any person and is prohibited from discriminating against any employee or applicant for employment because of race, color, religion, sex, national origin, age, physical or mental disability, temporary medical condition, political affiliation or belief. Proposer shall ensure compliance with Executive Order 11246, September 24, 1965 and the equal opportunity clause required in 41 CFR §60-14(a).

Printed name/title of Certifying  
Representative\_\_\_\_\_

Authorized  
Signature\_\_\_\_\_

Date\_\_\_\_\_